

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

AUG 06 2001

53887-017

U.S. APPLIC. NO. (if known, see 37 CFR 1.5)

09/890815INTERNATIONAL APPLICATION NO.
PCT/US00/30120INTERNATIONAL FILING DATE
NOVEMBER 2, 2000PRIORITY DATE CLAIMED
NOVEMBER 3, 1999

TITLE OF INVENTION

COMPUTER BORROW AND LOAN SECURITIES AUCTION SYSTEM

APPLICANT(S) FOR DO/EO/US

DAVID LOCKWOOD

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
- A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
- A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. has been transmitted by the International Bureau.
 - c. is not required, as the application was filed in the United States Receiving Office (RO/US)
- A translation of the International Application into English (35 U.S.C. 371(c)(2)).
- Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. have been transmitted by the International Bureau.
 - c. have not been made; however, the time limit for making such amendment has NOT expired.
 - d. have not been made and will not be made.
- A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
- A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

- 11. An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- 12. An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
- 13. A **FIRST** preliminary amendment.
A **SECOND** or **SUBSEQUENT** preliminary amendment.
- 14. A substitute specification.
- 15. A change of power of attorney and/or address letter.
- 16. Other items or information.

International Search Report Prepared By The United States Patent Office
Notification Of Receipt Of Record Copy
APPLICANT IS ENTITLED TO SMALL ENTITY STATUS



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<p>17. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</p> <table> <tr> <td>Search Report has been prepared by the EPO or JPO</td> <td>\$860.00</td> </tr> <tr> <td>International preliminary examination fee paid to USPTO (37 CFR 1.482)</td> <td>\$690.00</td> </tr> <tr> <td>No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))</td> <td>\$710.00</td> </tr> <tr> <td>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO</td> <td>\$1,000.00</td> </tr> <tr> <td>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)</td> <td>\$100.00</td> </tr> </table> <p style="text-align: right;">ENTER APPROPRIATE BASIC FEE AMOUNT =</p> <p style="text-align: right;">\$ 690.00</p>			Search Report has been prepared by the EPO or JPO	\$860.00	International preliminary examination fee paid to USPTO (37 CFR 1.482)	\$690.00	No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))	\$710.00	Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO	\$1,000.00	International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)	\$100.00																																																			
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<p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <p>Stephen A. Becker McDERMOTT, WILL & EMERY 600 13th Street, N.W. Washington, DC 20005-3096 (202) 756-8000 Facsimile (202) 756-8087</p> <p><i>[Signature]</i></p> <table border="1"> <tr> <td>SIGNATURE</td> </tr> <tr> <td>Stephen A. Becker</td> </tr> <tr> <td>NAME</td> </tr> <tr> <td>No. 26,527</td> </tr> <tr> <td>REGISTRATION NUMBER</td> </tr> <tr> <td>August 6, 2001</td> </tr> <tr> <td>DATE</td> </tr> </table>					SIGNATURE	Stephen A. Becker	NAME	No. 26,527	REGISTRATION NUMBER	August 6, 2001	DATE																																																				
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